The Paris Principles are the foundation of nearly every code used in the world today. Our job in this series of worldwide regional meetings is to update those principles for today’s environment.

You will find in the background papers the code comparison for the European and Anglo-American regions of the world. The libraries in the Middle East and Latin America mostly follow the Anglo-American Cataloguing rules or the Spanish rules of the French rules. The background papers touch on the topics you will be discussing tomorrow in your Working Groups.

Let me take a moment now to review the main similarities and differences in those rules examined at the first IME ICC meeting. We will want to do a similar comparison for the rules that you all use.
# Cataloguing Codes used in Europe

- AACR2 (Anglo-American)
- AAKP (Czech)
- AFNOR (French)
- BAV (Vatican)
- KBARSM (Lithuanian)
- KBSDB (Danish)
- KSB (Swedish)
- MSZ (Hungarian)
- PPIAK (Croatian)
- PPIAK (Macedonian)
- PPIAK (Slovenia)
- RAK (German)
- RAKK (Bulgarian)
- RC (Spanish)
- RCR (Russian)
- RICA (Italian)
- RT (Dutch)
- SL (Finnish)

Before the IME ICC1 meeting, a survey was conducted to see how similar or different the codes used in those countries were from the Paris Principles. There were 18 respondents to that survey as shown here.

All 18 respondents to the survey indicate their rules are based on the Paris Principles for choice and form of headings and entry words.
Paris Principles

ICCP 1961
• Goal: international standardization in cataloguing

1 Scope
– Choice and form of headings and entry words
– Elements determining the order of entries in catalogs of printed books
• Single alphabetical sequence

Intl. Conf on Cat Principles – 1961 Paris – 45 years ago
Goal was to promote international standardization in cataloguing.

Many noted that the Paris Principles were written for card catalogs or manual catalogs with a single alphabetical file for the bibliographic records and added entries and reference cards, whereas today, most online catalogs manipulate bibliographic records and index access points to allow retrieval and display of full bibliographic records or brief displays of selected elements from the bibliographic record in addition to providing references from variant forms to authorized forms of headings.

principles apply only to the choice and form of headings and entry words in catalogues of printed books (or equivalent materials)

mainly framed for large general libraries
(also other list of books)
**Scope**

Rules on choice and form of headings and entry words:

- AACR: general conformity
- Austria/Germany: yes
- Bulgaria: yes
- Czech: yes
- Croatia: yes
- Denmark: yes
- Finland: mainly yes
- France: globally based
- Hungary: yes
- Italy: yes
- Lithuania: yes
- Macedonia: yes
- Netherlands: yes
- Russia: yes (for card catalogues; online c.: one record)
- Slovenia: yes
- Spain: yes
- Sweden: yes
- Vatican: yes

Responses from the survey shows general agreement
Paris Principles

2 Functions of the Catalogue
Efficient instrument to ascertain
– Whether the library contains a particular book by
  • Author and title, or
  • Title alone, or
  • Title substitute; and
– Which works by a particular author and
– Which editions of a particular work are in the library

Survey response regarding the functions of the catalogue still indicate focus on the finding and collocating functions. An exception was noted in the RAK response from Germany where their rules do not prescribe differentiation of a name of a person, so they would not be able to collocate works of a particular author when more than one person has the same name. I understand they had proposals to change those rules some years ago.

Another variation here is the recognition of “bibliographic identities” as separate entities that may correspond to one or more actual persons or corporate bodies. In the role of author, a person or corporate body may have one or more bibliographic identities and separate authority records for those controlled names would be created.

AACR: same
Austria/Germany : no collocation for authors (no differentiation of personal names)
Bulgaria - ; Croatia : yes ; Denmark - ; Finland : same ; France : yes ; Hungary - ; Italy - ; Lithuania : yes
Macedonia -
Netherlands : yes with restrictions (5.2)
Russia : yes
Slovenia -
Spain -
Sweden -
Vatican : yes (according to AACR2)
Paris Principles

3 Structure of the Catalogue
– 1 entry for each book
– More than 1 entry to meet user interest or book’s characteristics
  • Author known by more than one name or form of name
  • Author’s name known but not on title-page
  • Several authors or collaborators shared creation of the book
  • Various authors attributed
  • Known by various titles

For structure of the catalog most respondents indicated agreement with the Paris Principles, creating a bibliographic record for each book. An exception was noted that Bulgarian rules do not make added entries for additional authors or variant titles

AACR:
  3.21: ref. to rules in 22 and 24
  3.22: ref. to 21.0B, 21.4A1 + 21.4C1
  3.23: ref. to shared and mixed responsibility
  3.24: ref. To 21.5 (uncertain authorship etc.)
  3.25: main and added entries for titles (chief source of inform.)

Austria/Germany -
Bulgaria : 3.24 and 3.25 not commented in rules
Croatia : yes
Denmark -
Finland -
France -
Hungary -
Italy -
Lithuania : corresponding to PP
Macedonia -
Netherlands -
Russia : 3.23-25: main entry and different access points
Slovenia -
Spain -
Sweden –
Vatican : rules according to AACR
The cataloguing codes currently recognize these kinds of entry, that is possible records in a catalog (main, added, refs). Additionally several codes also distinguish among the types of reference records as: See reference records (entry) See also reference records (entry) General explanatory records (entry) as the IFLA GARR also recommends

Some continue to distinguish
Analytical entry
Series record entry and
Authority record entry

In all cases the “main entry” is viewed as the full bibliographic record.

Through the online discussion, it was also clear that people are eager to move away from the term “main entry” and to use a more precise and up to date term. Perhaps when we mean the full bibliographic record, we should use the term “bibliographic record.”
Paris Principles

5 Use of Multiple Entries

– Entry under a heading for the author’s name or title as printed in the book
  = Access point for title proper

– Entry under a uniform heading for author or title
  = Access point for controlled name

– Added entries and/or references
  = Reference from variant form of name
  = Access points for relevant persons and/or corporate bodies

One of the Paris Principles suggests that entry under an author’s name should normally be made under a uniform heading for that author’s name. Also that the other names or forms of name should normally be references but added entries may be used in special cases.

Survey respondents indicated agreement with Paris Principles on this issue, but the AFNOR response also indicated that they use the geographic name heading as the main entry heading for cartographic materials. The AFNOR response also indicated they would never provide a uniform title main entry heading if the book could not be identified by author or title. Whereas, the response from the Netherlands indicate uniform titles are mandatory only for anonymous classics, including the Bible and for printed music and recordings of classical music.

It is also common to use authority records to document the variant forms of names and titles, which then appear in online catalogs as references.

AACR :5.1: yes, ref. to 21.1A2, 21.1B2, 21.1C1, 22, 24
5.2: yes, ref. 22, 23, 24, 25
5.3: added entries and references throughout the rules (esp. 25)
Austria/ Germany - ; Bulgaria : uniform heading only for author’s names, no additional entries under title
Croatia : yes ; Denmark - ; Finland - ; France : 5.1: not for cartographic materials, 5.3: very specific rules ??
Hungary - ; Italy - ; Lithuania : yes ; Macedonia : ; 5.1: entry under author’s name ; 5.2: no added entries
Netherlands : UT mandatory for anonymous classics, bible, music; otherwise recommended ; Russia - ; Slovenia - ; Spain - ;
Sweden – ; Vatican : according to AACR2
Paris
Principles

6 Functions of Different Kinds of Entries

– *Main entry* – entry under the uniform heading for author or title
– *References* – to refer from other names or forms of name for the same author (added entries may be used in special cases
– *Added entries*
  • for other titles for the same work (references may be used when can replace multiple added entries under one heading)
  • for names of joint authors, collaborators, etc. and titles of works (or references may be used in appropriate cases)

Most rules today put the form of author’s name as printed on the book in the area 1 of description and use that form as either the authorized form or a variant form in an authority record.

With regard to the special cases of using added entries in place of references, such as when a particular work is associated with a particular name, the Italian rules (RICA) do not provide such added entries. The Russian rules provide for this through their authority records. In fact, that is probably most likely in most countries today using online systems. The authority records document the variant forms and other names and those are then used in the online catalog as references to the authorized forms.

Likewise for other titles of the same work, they are typically managed as cross references in the title or name/title authority record. Added entries for different titles are not typically made in the bibliographic record, if there is an authority record for the uniform title (title or name/title).

The title proper is given as an access point in the bibliographic record, but the other variant titles when using a uniform title are given in authority records.
Today

- The bibliographic record can be displayed or viewed in brief or full form
  - Displays for indexed access points
    - Names
    - Titles
    - Subjects
    - Etc.
  - Sub-arrangement of the bibliographic records
    - User’s choice (alphabetically by primary author, title, date of publication, most recently or earliest cataloged, etc.)
    - Library default
Paris Principles

7 Choice of Uniform Heading

• Most frequently used name or title in editions of the works catalogued or in references by accepted authorities
• Multiple languages – prefer original language or form found in editions or references in languages of the catalogue

When we create a uniform or authorized heading, since the Paris Principles, we follow the form as found – that is we follow the principle of representation on the bibliographic resources and secondarily from reference sources – preferring the original language and script. Then if the language (or ‘script’) is not one normally used in the catalog, the rules today allow using the form found in editions or reference sources in the language of the catalogue. – this is back to common usage and user convenience principles.

The codes basically follow this principle.
Paris Principles

8 Single Personal Author

- Give the primary access for the author with added entries for other persons or corporate bodies
- Multiple languages – prefer original language or form found in editions or references in languages of the catalogue

Here we have the same for a personal author.

The codes basically follow this principle or presentation.
Paris Principles

8 Single Personal Author, continued

• Uniform heading – most frequently identified in editions of work, in fullest form appearing there, except
  • Prefer an established name in general usage or in references (common usage, user convenience)
  • Add a further identifying characteristic to distinguish the author from others with the same name

{Read the slide}

The codes agree on using the form found. The French rules choose the best known name after an author’s death when different pseudonyms are used.

Regarding the further identifying characteristics, the Vatican rules make many more additions for names related to religious entities, because their catalog is primarily for those types of materials.

Czech rules use more identifying characteristics than AACR2 when the cataloger has the information, not only to differentiate names.

On the other hand, the German rules do not prescribe to differentiation of names of a person (but this practice is changing).
Paris
Principles

9 Entry under Corporate Bodies

- Use a main entry heading for corporate body when
  - The work is an expression of the collective though or activity of the corporate body, even if signed by a person in the capacity of an officer or servant of the corporate body
  - The wording of the title or title-page, taken in conjunction with the nature of the work, clearly implies that the corporate body is collectively responsible for the content of the work

[Read the slide]

Most codes follow this rule.

However, in the Netherlands corporate main entry is never made, but an access point, added entry is given when the corporate body is responsible for the content of a work. They make an exception for a performing group in sound recordings.

The rules used in Croatia do not follow corporate entry for serials, but do for monographs.

The Spanish rules are more restrictive in the idea of “activity” of when to use a corporate body as the primary heading.

Finnish rules prefer the main entry heading be the key title or title proper with an added entry for the corporate body for serials whose titles consist of generic terms, even when they are the activity of a corporate body.
9 Entry under Corporate Bodies, continued

• In other cases when a corporate body has performed a function (such as that of an editor) subsidiary to the function of the author, an added entry should be made under the name of the corporate body.

[Read the slide]

Again most codes follow this “rule” or principle.
9 Entry under Corporate Bodies, continued

- In doubtful cases, the main entry (heading) may be made under the name of the corporate body or under the title of the name of the personal author, with an added entry in either case under the alternative not chosen for the main entry.

[Read the slide]
All codes follow this principle.
## Paris Principles

### 9 Entry under Corporate Bodies, continued

- Uniform heading for corporate body - prefer the name by which most frequently identified in its publications, except
  - If variant forms frequently found on publications, prefer the official form of the name
  - If official names in several languages, prefer the languages best suited to the users
  - Prefer a conventional name (in one of the languages of the catalog)

[Read the slide]

All codes follow this principle. The Czech prefer to follow the form found in authority files or national bibliographies when possible to derive the most frequently identified form.

Similarly when there are many forms, the AFNOR rules in France also use other sources such as national authority files and reference sources. The Spanish rules also prefer a conventional name over an official form.

Regarding multiple languages, the PPAIK used in Croatia uses the name in the first official language used in the library catalog. The Netherlands’ rules do not apply this exception preferring the form most commonly used in the publication in the country of origin or in standard reference works, but as a last resort the most recent form. Finland prefers to use the Finnish and Swedish forms, as they have two official languages.
Paris Principles

9 Entry under Corporate Bodies, continued

• Uniform heading for corporate body - prefer the name by which most frequently identified in its publications, except (continued)
  • For states and other territorial authorities, prefer the currently used form of name of the territory in the language of the users of the catalogue
  • Successive entry when name change is not minor, connect names by references
  • Add a further identifying characteristic to distinguish corporate bodies with the same name

The past practice in some countries was to assemble all the names under the latest name or one name and to use a grouping authority record to bring them together, but more recent rules follow the successive entry practice. An exception is PPIAK for Croatia which does not follow this practice of successive entry.

The addition of further identifying characteristics is common practice in all rules.
9 Entry under Corporate Bodies, continued

- Constitutions, laws and treaties, and certain other works having similar characteristics, enter under the name of the appropriate territorial authority, with formal or conventional titles indicating the nature of the material. Added entries for actual titles (titles proper) should be made as needed.

Most rules agree, but the German, RAK rules do not apply this principle for laws, preferring instead title entry with a uniform title which is the official title of the law. In the Netherlands the main entry heading is the title proper. In the Finnish rules this kind of publication is entered mainly under title.

Perhaps we could at least agree there should be an access point for the territorial authority and a uniform title, as well as access through the title proper?
Paris
Principles

9 Entry under Corporate Bodies, continued

• Subordinate corporate bodies – prefer the name of the subordinate body directly, except
  • If the name implies subordination or a subordinate function or is insufficient to identify; then prefer a heading starting with the superior body and the subordinate body’s name as a subheading

All rules agree
Paris Principles

9 Entry under Corporate Bodies, continued

- Subordinate corporate bodies – prefer the name of the subordinate body directly, except
  - If the subordinate body is an administrative, judicial, or legislative organ of a government, prefer the uniform heading start with the territorial authority with the name of the organ as a subheading.

Most rules agree, but the Netherlands gives the territorial name as a qualifier or otherwise when the superior body is not named on the publication or it is not clear that a territorial body is involved, they prefer the name given on the publication.
Paris Principles

10 Multiple Authorship

- When 2 or more authors have shared in the creation of a work
  - If one is represented as principal author, make the main entry under the name for the principal author
  - If no author is represented a principal, make main entry under
    - 2 or 3: First named on title-page (with added entries for the second and third when present and no more than 3)
    - 4 or more: Title of the work (with added entries for the first named author and as many others as necessary)

Most rules agree, but the Netherlands considers corporate bodies to be a group of more than three personal authors, so a work that has both a personal author and a corporate author is entered under title with added entries for the personal author and the corporate author.

Then there are 4 or more, the AFNOR rules in France add the stipulation of names with the same type of function. Usually when there are more than 3, no access points are made for them, but the rules do not forbid libraries from increasing the number in their own catalogues. For videorecordings, AFNOR does not recognize the idea of principal author, as the work is always considered a collected work with main entry under title proper and a limited number of additional access points. In the SUDOC the film director is considered the main author.
Paris Principles

10 Multiple Authorship

Collections

- Independent works or parts of works by different authors, enter under
  - the title of the collection, if it has a collective title
  - the name of the author or the title of the first work, if there is no collective title
  In both cases make added entry under name of compiler, if known
- Exception, under compiler’s name, if appears prominently with title added entry.

Interestingly no one uses the minority text or the exception. This main text is that used in the codes responding to the survey. [Read slide]

The response from Macedonia was that they do not follow this principle for collections because the title of the collection is part of the record and is given at the end of the record in brackets for automated retrieval in their catalogue.
Paris Principles

10 Multiple Authorship

- Successive parts of a work, attributed to different authors
  - Main entry under the author of the first part

Many of the rules found exceptions to this principle. AACR2 notes that the main entry is changed to another person/body if that person/body is predominant for the multipart monograph as a whole, and that main entry is changed to title if more than 3 persons/bodies are responsible for the completed multipart monograph. However, the JSC is currently considering removing these two possibilities to bring the rules back in line with the Paris Principles.

The Vatican rules and the Finnish rules have adopted the AACR2 rules.

The Czech rules make a distinction that when there are significant titles of the parts, they create new records. Similarly the Netherlands’ rules also allowed for making separate records.
Paris Principles

11 Works entered under Title when

- Author is not ascertained
- Work is by more than 3 authors, none of whom is principal author
- Collections of independent works or parts of works, by different authors, published with a collective title
- Works are known primarily or conventionally by title

The rules agree, except on this last point – some rules would make the main entry heading for the author (Czech rules and Macedonian PPIAK) and AFNOR would enter serials under corporate body heading as appropriate.
Paris Principles

11 Added entry under Title for

- Anonymous editions of works whose authors have been ascertained (i.e., main entry under author)
- Works with author main entry heading, when title is important alternative means of identification

The rules agree, however, the Macedonian and the Bulgarian rules do not require an added entry for title access.
Paris Principles

11 Added entry under Title for (continued)

- Works with corporate body main entry heading with distinctive titles not including the name of the corporate body
- Collections whose main entry is made exceptionally under compiler (*no one follows this exception*)

The rules agree, and none of the rules follow the exception for compilers.
Paris Principles

11 Uniform heading for works entered under title

• Prefer the original title or title most frequently used in editions of the work, except
  – Prefer conventional title when generally known

Most rules agree, but the Bulgarian rules do not use a uniform title, only entering under the title proper. The rules used in the Netherlands apply this only to anonymous classics.
Paris Principles

11 Uniform heading for works of which successive parts or volumes bear different titles

- Prefer the title of the first part, unless the majority of the parts or volumes bear another title

Most rules agree, but the AFNOR standard does not address this.
Paris Principles

11 When serial publication issued successively under different titles, follow successive entry (use each title for the series of issues bearing that title with an indication of at least the immediately preceding and succeeding titles)

• Allows for added entry under one selected title (“grouping” title)
• If slight title variations, may use most frequently used form as the uniform heading

Most rules agree with the successive entry principle for serials, however, the AFNOR standard does not address this. As regards the added entry under one selected title to group the entries, AACR2 does not use that device, nor do the rules used in the Netherlands. At the BnF they do create an “historical record” to link bibliographic records representing each title change. These historical records are not described in AFNOR.

Regarding the slight title variations, ISBD(CR) and most rules today, use the form on the first issue received, not the most frequently appearing form. This is a practical solution to avoid a lot of record maintenance. However, the RAK response to the survey indicated they are contrary to ISBD(CR), allowing the use of the title used most commonly as title for all issues and parts.
Paris
Principles

11 Multi-lateral international treaties and conventions and certain other categories of publications issued with non-distinctive titles

- Prefer a uniform conventional heading to reflect the form of the work

For treaties, most rules agree, but the rules in the Netherlands have no corresponding rule. In the Bulgarian rules they use the title proper and not a uniform conventional heading.
Some respondents to the survey indicated they follow IFLA Names of Persons. The IFLA Cataloguing Section is taking up a revision of that publication with an effort to be more consistent in the responses from the various countries. It is also hoped that a virtual international authority file will allow broader access to existing machine-readable authority files for sharing information on authorized forms of names.

At least we should see if we can agree that the forms and names found on publications should be included as either the authorized form or variants in authority records for the entity to facilitate future sharing and matching of authority records for the same entity.

So that’s our overview of current rules from other parts of the world, and I look forward to future discussions with you all on the similarities and differences between your codes and the Paris Principles. Some of you already started to submit such information and we will post these reports on our Web page and publish them in the meeting report.